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\*Admitted only in Virginia  
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Federal Agencies

August 15, 2006

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Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

*Art Unit To be assigned*

*Attn: Mail Stop Amendment*

Re: U.S. Utility Patent Application  
Appl. No. 10/529,221 (U.S. Nat'l Phase of PCT/US03/30238;  
Int'l. Filing Date: September 26, 2003); § 371 Date: To be assigned  
For: **Targeted CD1d Molecules**  
Inventors: ROBERT *et al.*  
Our Ref: 1843.0200001/EKS/FRC

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement Filing Under 37 C.F.R. § 1.97(b);
2. Listing of the cited documents on Forms PTO/SB/08A and PTO/SB/08B (11 sheets);
3. A copy of eleven (11) cited documents on Form PTO/SB/08A;
4. A copy of eighty-one (81) cited documents on Form PTO/SB/08B;
5. First Supplemental Information Disclosure Statement Filing Under 37 C.F.R. § 1.97(b);
6. Listing of the cited documents on Forms PTO/SB/08A and PTO/SB/08B (2 sheets);
7. A copy of four (4) cited documents on Form PTO/SB/08A;
8. A copy of ten (10) cited documents on Form PTO/SB/08B; and
9. Return postcard.

Commissioner for Patents

August 15, 2006

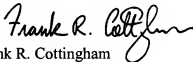
Page 2

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Frank R. Cottingham  
Attorney for Applicants  
Registration No. 50,437

FRC/ped  
Enclosures

570207v1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

ROBERT *et al.*

Appl. No.: 10/529,221 (*U.S. Nat'l Phase  
of PCT/US03/30238*)

I.A. Filed: September 26, 2003

For: **Targeted CD1d Molecules**

Confirmation No.: 2116

Art Unit: *To Be Assigned*

Examiner: *To Be Assigned*

Atty. Docket: 1843.0200001/EKS/FRC

**Information Disclosure Statement  
Filing Under 37 C.F.R. § 1.97(b)**

*Mail Stop Amendment*

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Forms PTO/SB/08A and PTO/SB/08B are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. Copies of documents **FP1-FP11** and **NPL1-NPL81** are submitted. However, in accordance with 37 C.F.R. § 1.98(a)(2), copies of U.S. patents, documents **US1-US3**, cited on the attached Form PTO/SB/08A are not submitted.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached IDS Forms based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

In accordance with 37 C.F.R. § 1.98(a)(3), Applicants' undersigned representative submits the following discussion of the relevance of the non-English language document **FP6**, cited on Form PTO/SB/08A:

Document **FP6**, EP 0 352 761 B1, is in the German language. An English language abstract of document **FP6** is attached as document **NPL26**.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

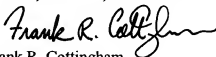
This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No statement or fee is required.

It is respectfully requested that the Examiner initial and return copies of the enclosed IDS Forms, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Frank R. Cottingham  
Attorney for Applicants  
Registration No. 50,437

Date: AUG. 15, 2006

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Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

**Complete if Known**

Application Number	10/529,221 (U.S. Nat'l Phase of PCT/US03/30238)
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I.A. Filing Date	September 26, 2003
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First Named Inventor	Bruno Robert
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Art Unit	To Be Assigned
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Attorney Docket Number	1843.0200001/EKS/FRC
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Sheet	1	of	2
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## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>2</sup> Number <sup>3</sup> Kind Code <sup>4</sup> (if known)				
/M.D./	FP1	AU-B-39005/89	02/01/1990	Behringwerke Aktiengesellschaft		
/M.D./	FP2	WO 93/10220 A1	05/27/1993	Anergen, Inc.		
/M.D./	FP3	WO 96/26962 A1	09/06/1996	The Board of Trustees of the Leland Stanford Junior University		
/M.D./	FP4	WO 97/35991 A1	10/02/1997	The Johns Hopkins University, Schneck, and O'herrin		
/M.D./	FP5	WO 98/07441 A1	02/26/1998	Massachusetts Institute of Technology		

Examiner Signature	/Marianne DiBrino/	Date Considered	08/17/2009
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\* **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* Applicant's unique citation designation number (optional). \* See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. \* Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \* For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \* Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. \* Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and to the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Use as many sheets as necessary)

U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner Signature	/Marianne DiBrino/	Date Considered	08/17/2009
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)		Application Number	10/529,221 (U.S. Nat'l Phase of PCT/US03/30238)
		I.A. Filing Date	September 26, 2003
		First Named Inventor	Bruno Robert
		Art Unit	To Be Assigned
		Examiner Name	To Be Assigned
		Attorney Docket Number	1843.0200001/EKS/FRC
Sheet	1	of	9

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published	T <sup>2</sup>
/M.D./	NPL1	Abastado, J.-P., et al., "Dimerization of Soluble Major Histocompatibility Complex-Peptide Complexes Is Sufficient for Activation of T Cell Hybridoma and Induction of Unresponsiveness," <i>J. Exp. Med.</i> 182:439-447, The Rockefeller University Press (1995)	
	NPL2	Abdel-Wahab, Z., et al., "Human Dendritic Cells, Pulsed with either Melanoma Tumor Cell Lysates or the gp100 Peptide <sub>(280-288)</sub> , Induce Pairs of T-Cell Cultures with Similar Phenotype and Lytic Activity," <i>Cell. Immunol.</i> 186:63-74, Academic Press (1998)	
	NPL3	Alexander, J., et al., "Recognition of a Novel Naturally Processed, A2 Restricted, HCV-NS4 Epitope Triggers IFN-gamma Release in Absence of Detectable Cytopathicity," <i>Hum. Immunol.</i> 59:776-782, Elsevier Science, Inc. (1998)	
	NPL4	Alexander, M., et al., "Generation of tumor-specific cytolytic T lymphocytes from peripheral blood of cervical cancer patients by in vitro stimulation with a synthetic human papillomavirus type 16 E7 epitope," <i>Am. J. Obstet. Gynecol.</i> 175:1586-1593, Mosby-Year Book, Inc. (1996)	
	NPL5	Altman, J.D., et al., "Phenotypic Analysis of Antigen-Specific T Lymphocytes," <i>Science</i> 274:94-96, American Association for the Advancement of Science (1996)	
	NPL6	Battegay, M., et al., "Patients with Chronic Hepatitis C Have Circulating Cytotoxic T Cells Which Recognize Hepatitis C Virus-Encoded Peptides Binding to HLA-A2.1 Molecules," <i>J. Virol.</i> 69:2462-2470, American Society for Microbiology (1995)	
	NPL7	Bedzyk, W.D., et al., "Immunological and Structural Characterization of a High Affinity Anti-fluorescein Single-chain Antibody," <i>J. Biol. Chem.</i> 265:18615-18620, The American Society for Biochemistry and Molecular Biology, Inc. (1990)	
	NPL8	Bertoletti, A., et al., "Molecular Features of the Hepatitis B Virus Nucleocapsid T-Cell Epitope 18-27: Interaction with HLA and T-Cell Receptor," <i>Hepatology</i> 26:1027-1034, American Association for the Study of Liver Diseases (1997)	
✓	NPL9	Bocchia, M., et al., "Specific Binding of Leukemia Oncogene Fusion Protein Peptides to HLA Class I Molecules," <i>Blood</i> 85:2680-2684, The American Society of Hematology (1995)	
/M.D./	NPL10	Bocchia, M., et al., "Specific Human Cellular Immunity to bcr-abl Oncogene-Derived Peptides," <i>Blood</i> 87:3587-3592, The American Society of Hematology (1996)	

Examiner Signature	/Marianne DiBrino/	Date Considered	08/17/2009
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22314-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22314-1450.

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# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** (Use as many sheets as necessary)

Sheet 2 of 9

## **Complete if Known**

Application Number	10/529,221 (U.S. Nat'l Phase of PCT/US03/30238)
I.A. Filing Date	September 26, 2003
First Named Inventor	Bruno Robert
Art Unit	To Be Assigned
Examiner Name	To Be Assigned
Attorney Docket Number	1843.0200001/EKS/FRC

## **NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published	T <sup>2</sup>
/M.D./	NPL11	Boitel, B., et al., "Strong Similarities in Antigen Fine Specificity Among DRB1*1302-Restricted Tetanus Toxin tt830-843-Specific TCRs in Spite of Highly Heterogeneous CDR3," <i>J. Immunol.</i> 154:3245-3255, The American Association of Immunologists (1995)	
	NPL12	Boniface, J.J., et al., "Initiation of Signal Transduction through the T Cell Receptor Requires the Peptide Multivalent Engagement of MHC Ligands," <i>Immunity</i> 9:459-466, Cell Press (1998)	
	NPL13	Brinckerhoff, L.H., et al., "Terminal Modifications Inhibit Proteolytic Degradation of an Immunogenic Mart-127.35 Peptide: Implications for Peptide Vaccines," <i>Int. J. Cancer</i> 83:326-334, Wiley-Liss, Inc. (1999)	
	NPL14	Brusic, V., et al., "Prediction of MHC class II-binding peptides using an evolutionary algorithm and artificial neural network," <i>Bioinformatics</i> 14:121-130, Oxford University Press (1998)	
	NPL15	Burrows, G.G., et al., "Two-Domain MHC Class II Molecules Form Stable Complexes with Myelin Basic Protein 69-89 Peptide That Detect and Inhibit Rat Encephalitogenic T Cells and Treat Experimental Autoimmune Encephalomyelitis," <i>J. Immunol.</i> 161:5987-5996, The American Association of Immunologists (1988)	
	NPL16	Casares, S., et al., "Antigen-specific Signaling by a Soluble, Dimeric Peptide/Major Histocompatibility Complex Class II/Fc Chimera Leading to T Helper Cell Type 2 Differentiation," <i>J. Exp. Med.</i> 190:543-553, The Rockefeller University Press (1999)	
	NPL17	Castelli, C., et al., "Novel HLA-Cw8-Restricted T Cell Epitopes Derived from Tyrosinase-Related Protein-2 and gp100 Melanoma Antigens," <i>J. Immunol.</i> 162:1739-1748, The American Association of Immunologists (1999)	
	NPL18	Celis, E., et al., "Identification of Potential CTL Epitopes of Tumor-Associated Antigen Mage-1 for Five Common HLA-A Alleles," <i>Mol. Immunol.</i> 31:1423-1430, Elsevier Science, Ltd. (1994)	
✓	NPL19	Chau, P., et al., "Identification of Mage-3 Epitopes Presented by HLA-DR Molecules to CD4 <sup>+</sup> T Lymphocytes," <i>J. Exp. Med.</i> 189:767-777, The Rockefeller University Press (1999)	
/M.D./	NPL20	Chikamatsu, K., et al., "Generation of Anti-p53 Cytotoxic T Lymphocytes from Human Peripheral Blood Using Autologous Dendritic Cells," <i>Clin. Cancer Res.</i> 5:1281-1288, The American Association for Cancer Research (1999)	

Examiner  
Signature

/Marianne DiBrino/

Date

Considered

08/17/2009

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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NON PATENT LITERATURE DOCUMENTS				
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/M.D./	NPL21	Cochran, J.R., <i>et al.</i> , "The Relationship of MHC-Peptide Binding and T Cell Activation Probed Using Chemically Defined MHC Class II Oligomers," <i>Immunity</i> 12:241-250, Cell Press (2000)		
↓	NPL22	Cormier, J.N., <i>et al.</i> , "Heterogeneous Expression of Melanoma-Associated Antigens and HLA-A2 in Metastatic Melanoma <i>In Vivo</i> ," <i>Int. J. Cancer</i> 75:517-524, Wiley-Liss, Inc. (1998)		
	NPL23	Dal Porto, J., <i>et al.</i> , "A soluble divalent class I major histocompatibility complex molecule inhibits alloreactive T cells at nanomolar concentrations," <i>Proc. Natl. Acad. Sci. USA</i> 90:6671-6675, The National Academy of Sciences (1993)		
	NPL24	Daniel, S., <i>et al.</i> , "Relationship Between Peptide Selectivities of Human Transporters Associated with Antigen Processing and HLA Class I Molecules," <i>J. Immunol.</i> 161:617-624, The American Association of Immunologists (1998)		
	/M.D./	NPL25	De Backer, O., <i>et al.</i> , "Characterization of the <i>GAGE</i> Genes That Are Expressed in Various Human Cancers and in Normal Testis," <i>Cancer Res.</i> 59:3157-3165, The American Association for Cancer Research (1999)	
	NPL26	<del>Dialog File 351, Accession No. 8144344, Derwent WPI English language abstract for EP 352 761 A2, cited on Form PTO/SB/08A as document FP6</del>		
/M.D./	NPL27	Diepolder, H.M., <i>et al.</i> , "Immunodominant CD4 <sup>+</sup> T-Cell Epitope within Nonstructural Protein 3 in Acute Hepatitis C Virus Infection," <i>J. Virol.</i> 71:6011-6019, American Society for Microbiology (1997)		
↓	NPL28	Doolan, D.L., <i>et al.</i> , "Degenerate Cytotoxic T Cell Epitopes from <i>P. falciparum</i> Restricted by Multiple HLA-A and HLA-B Supertype Alleles," <i>Immunity</i> 7:97-112, Cell Press (1997)		
	NPL29	Esser, S., <i>et al.</i> , "Vascular endothelial growth factor induces VE-cadherin tyrosine phosphorylation in endothelial cells," <i>J. Cell Sci.</i> 111:1853-1865, The Company of Biologists Limited (1998)		
	/M.D./	NPL30	Fleischhauer, K., <i>et al.</i> , "Functional Heterogeneity of HLA-A*02 Subtypes Revealed by Presentation of a MAGE-3-Encoded Peptide to Cytotoxic T Cell Clones," <i>J. Immunol.</i> 159:2513-2521, The American Association of Immunologists (1997)	

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)		Application Number	10/529,221 (U.S. Nat'l Phase of PCT/US03/30238)
		I.A. Filing Date	September 26, 2003
		First Named Inventor	Bruno Robert
		Art Unit	To Be Assigned
		Examiner Name	To Be Assigned
		Attorney Docket Number	1843.0200001/EKS/FRG
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M.D.J.	NPL31	Gotch, F., et al., "Cytotoxic T lymphocytes recognize a fragment of influenza virus matrix protein in association with HLA-A2," <i>Nature</i> 32:881-882, Nature Publishing Group (1987)	
	NPL32	Greten, T.F., et al., "Direct visualization of antigen-specific T cells: HTLV-1 Tax11-19-specific CD8 <sup>+</sup> T Cells are activated in peripheral blood and accumulate in cerebrospinal fluid from HAM/TSP patients," <i>Proc. Natl. Acad. Sci. USA</i> 95:7568-7573, The National Academy of Sciences (1998)	
	NPL33	Hamad, A.R.A., et al., "Potent T Cell Activation with Dimeric Peptide-Major Histocompatibility Complex Class II Ligand: The Role of CD4 Coreceptor," <i>J. Exp. Med.</i> 188: 1633-1640, The Rockefeller University Press (1998)	
	NPL34	Harbury, P.B., et al., "A Switch Between Two-, Three-, and Four-Stranded Coiled Coils in GCN4 Leucine Zipper Mutants," <i>Science</i> 262:1401-1407, American Association for the Advancement of Science (1993)	
	NPL35	Harvill, E.T., et al., "In Vivo Properties of an IgG3-IL-2 Fusion Protein," <i>J. Immunol.</i> 157:3165-3170, The American Association of Immunologists (1996)	
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	NPL38	Kawashima, I., et al., "Identification of GP100-Derived, Melanoma-Specific Cytotoxic T-Lymphocyte Epitopes Restricted By HLA-A3 Supertype Molecules By Primary <i>In Vitro</i> Immunization With Peptide-Pulsed Dendritic Cells," <i>Int. J. Cancer</i> 75:518-524, Wiley-Liss, Inc. (1998)	
	NPL39	Kawashima, I., et al., "Identification of HLA-A3-restricted Cytotoxic T Lymphocyte Epitopes from Carcinoembryonic Antigen and HER-2/ <i>neu</i> by Primary <i>In Vitro</i> Immunization with Peptide-pulsed Dendritic Cells," <i>Cancer Res.</i> 59:431-435, The American Association for Cancer Research (1999)	
	NPL40	Kim, J., et al., "Determinants of T Cell Reactivity to the <i>Mycobacterium leprae</i> GroES Homologue," <i>J. Immunol.</i> 159:335-343, The American Association of Immunologists (1997)	

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			First Named Inventor	Bruno Robert
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M.D./	NPL41	Kono, K., et al., "Identification of HER2/neu-Derived Peptide Epitopes Recognized by Gastric Cancer-Specific Cytotoxic T Lymphocytes," <i>Int. J. Cancer</i> 78:202-208, Wiley-Liss, Inc. (1998)		
	NPL42	Kundu, S.K., et al., "Role of Preimmunization Virus Sequences in Cellular Immunity in HIV-Infected Patients during HIV Type 1 MN Recombinant gp 160 Immunization," <i>Aids Res. Hum. Retroviruses</i> 14:1669-1678, Mary Ann Liebert, Inc. (1998)		
	NPL43	Lachman, L.B., et al., "Cytokine-Containing Liposomes as Adjuvants for Subunit Vaccines," in <i>Vaccine Design: The Subunit and Adjuvant Approach</i> , Powell, M.F., and Newman, M.J., eds., Plenum Press, New York, NY, pp. 659-671 (1995)		
	NPL44	Livingston, B.D., et al., "The Hepatitis B Virus-Specific CTL Responses Induced in Humans by Lipopeptide Vaccination are Comparable to Those Elicited by Acute Viral Infection," <i>J. Immunol.</i> 159:1383-1392, The American Association of Immunologists (1997)		
	NPL45	Manici, S., et al., "Melanoma Cells Present a MAGE-3 Epitope to CD4 <sup>+</sup> Cytotoxic T Cells in Association with Histocompatibility Leukocyte Antigen DR11," <i>J. Exp. Med.</i> 189:871-876, The Rockefeller University Press (1999)		
	NPL46	Morrison, S.L., et al., "Production and Characterization of Genetically Engineered Antibody Molecules," <i>Clin. Chem.</i> 34:1668-1675, Journal of the American Association for Clinical Chemistry, Inc. (1988)		
	NPL47	Nukaya, I., et al., "Identification of HLA-A24 Epitope Peptides of Carcinoembryonic Antigen Which Induce Tumor-Reactive Cytotoxic Lymphocyte," <i>Int. J. Cancer</i> 80:92-97, Wiley-Liss, Inc. (1999)		
	NPL48	Pack, P., et al., "Tetavalent Miniantibodies with High Avidity Assembling in <i>Escherichia coli</i> ," <i>J. Mol. Biol.</i> 246:28-34, Academic Press Limited (1995)		
	NPL49	Parham, P., et al., "Carbohydrate Moiety of HLA Antigens," <i>J. Biol. Chem.</i> 252:7555-7567, The American Society of Biological Chemists, Inc. (1977)		
M.D./	NPL50	Parkhurst, M.R., et al., "Identification of a Shared HLA-A*0201-restricted T-Cell Epitope from the Melanoma Antigen Tyrosinase-related Protein 2 (TRP2)," <i>Cancer Res.</i> 58:4895-4901, The American Association for Cancer Research (1998)		

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				First Named Inventor	Bruno Robert
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/M.D./	NPL51	Peiper, M., et al., "Pancreatic Cancer Associated Ascites-Derived CTL Recognize a Nine-Amino-Acid Peptide GP2 Derived from HER2/neu," <i>Anticancer Res.</i> 19:2471-2476, International Institute Anticancer Research (1999)		
	NPL52	Penichet, M.L., et al., "An Antibody-Avidin Fusion Protein Specific for the Transferrin Receptor Serves as a Delivery Vehicle for Effective Brain Targeting: Initial Applications in Anti-HIV Antisense Drug Delivery to the Brain," <i>J. Immunol.</i> 163:4421-4426, The American Association of Immunologists (1999)		
	NPL53	Ramakrishna, V., et al., "Generation and Phenotypic Characterization of New Human Ovarian Cancer Cell Lines with the Identification of Antigens Potentially Recognizable by HLA-Restricted Cytotoxic T Cells," <i>Int. J. Cancer</i> 73:143-150, Wiley-Liss, Inc. (1997)		
	NPL54	Ressing, M.E., et al., "Human CTL Epitopes Encoded by Human Papillomavirus Type 16 E6 and E7 Identified Through In Vivo and In Vitro Immunogenicity Studies of HLA-A*0201-Binding Peptides," <i>J. Immunol.</i> 154:5934-5943, The American Association of Immunologists (1995)		
	NPL55	Rivoltini, L., et al., "A Superagonist Variant of Peptide MART1/Melan A <sub>27-35</sub> Elicits Anti-Melanoma CD8 <sup>+</sup> T Cells with Enhanced Functional Characteristics: Implication for More Effective Immunotherapy," <i>Cancer Res.</i> 59:301-306, The American Association for Cancer Research (1999)		
	NPL56	Robert, B., et al., "Antibody-conjugated MHC class I tetramers can target tumor cells for specific lysis by T lymphocytes," <i>Eur. J. Immunol.</i> 30:3165-3170, Wiley-VCH Verlag GmbH (2000)		
	NPL57	Rongcun, Y., et al., "Identification of New HER2/neu-Derived Peptide Epitopes That Can Elicit Specific CTL Against Autologous and Allogenic Carcinomas and Melanomas," <i>J. Immunol.</i> 163:1037-1044, The American Association of Immunologists (1999)		
	NPL58	Rötzschke, O., et al., "Conformational variants of class II MHC/peptide complexes induced by N- and C-terminal extensions of minimal peptide epitopes," <i>Proc. Natl. Acad. Sci. USA</i> 96:7445-7450, National Academy of Sciences (1999)		
	NPL59	Rötzschke, O., et al., "Superactivation of an immune response triggered by oligomerized T cell epitopes," <i>Proc. Natl. Acad. Sci. USA</i> 94:14642-14647, National Academy of Sciences (1997)		
/M.D./	NPL60	Salazar-Onfray, F., et al., "Synthetic Peptides Derived from the Melanocyte-stimulating Hormone Receptor MC1R Can Stimulate HLA-A2-restricted Cytotoxic T Lymphocytes That Recognize Naturally Processed Peptides on Human Melanoma Cells," <i>Cancer Res.</i> 57:4348-4355, The American Association for Cancer Research (1997)		

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/M.D./	NPL61	Schmitt, L., et al., "Catalysis of peptide dissociation from Class II MHC-peptide complexes," <i>Proc. Natl. Acad. Sci. USA</i> 96:6581-6586, The National Academy of Sciences (1999)			
	NPL62	Schnell, S., et al., "Retrovirally Transduced Mouse Dendritic Cells Require CD4 <sup>+</sup> T Cell Help to Elicit Antitumor Immunity: Implications for the Clinical Use of Dendritic Cells," <i>J. Immunol.</i> 164:1243-1250, The American Association of Immunologists (2000)			
	NPL63	Shin, S.-U. and Morrison, S.L., "Production and Properties of Chimeric Antibody Molecules," in <i>Methods in Enzymology</i> , Langone, J.J., ed., Academic Press, Inc., New York, pp. 459-477 (1989)			
	NPL64	Shin, S.-U., et al., "Functional and Pharmacokinetic Properties of Antibody-Avidin Fusion Proteins," <i>J. Immunol.</i> 158:4797-4804, The American Association of Immunologists (1997)			
	NPL65	Springer, T.A. and Strominger, J.L., "Detergent-soluble HLA antigens contain a hydrophilic region at the COOH-terminus and a penultimate hydrophobic region," <i>Proc. Natl. Acad. Sci. USA</i> 73:2481-2485, The National Academy of Sciences (1976)			
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	NPL67	Takahashi, T., et al., "707-AP Peptide Recognized by Human Antibody Induces Human Leukocyte Antigen A2-restricted Cytotoxic T Lymphocyte Killing of Melanoma," <i>Clin. Cancer Res.</i> 3:1363-1730, The American Association for Cancer Research (1997)			
	NPL68	Takahashi, T., et al., "Cytotoxic T lymphocytes that recognize decameric peptide sequences of retinoblastoma binding protein 1 (RBP-1) associated with human breast Cancer," <i>British J. Cancer</i> 81:342-349, Cancer Research Campaign (1999)			
	NPL69	Tanzarella, S., et al., "Identification of a Promiscuous T-Cell Epitope Encoded by Multiple Members of the <i>MAGE</i> Family," <i>Cancer Res.</i> 59:2668-2674, The American Association for Cancer Research (1999)			
/M.D./	NPL70	Turkewitz, A.P., et al., "Large-Scale Purification of Murine I-A <sup>k</sup> and I-E <sup>k</sup> Antigens and Characterization of the Purified Proteins," <i>Mol. Immunol.</i> 20:1139-1147, Pergamon Press Ltd. (1983)			

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/M.D./	NPL71	Turner, M.J., et al., "Purification of Papain-solubilized Histocompatibility Antigens from a Cultured Human Lymphoblastoid Line, RPMI 4265," <i>J. Biol. Chem.</i> 250:4512-4519, The American Society of Biological Chemists, Inc. (1975)	
	NPL72	Valmori, D., et al., "Analysis of MAGE-3-specific Cytolytic T Lymphocytes in Human Leukocyte Antigen-A2 Melanoma Patients," <i>Cancer Res.</i> 57:735-741, The American Association for Cancer Research (1997)	
	NPL73	Valmori, D., et al., "Analysis of the Cytolytic T Lymphocyte Response of Melanoma Patients to the Naturally HLA-A*0201-associated Tyrosinase Peptide 368-376," <i>Cancer Res.</i> 59:4050-4055, The American Association for Cancer Research (1999)	
	NPL74	Valmori, D., et al., "Diversity of the Fine Specificity Displayed by HLA-A*0201-Restricted CTL Specific for the Immunodominant Melan-A/MART-1 Antigenic Peptide," <i>J. Immunol.</i> 161:6956-6962, The American Association of Immunologists (1998)	
	NPL75	Wang, R.-F., et al., "Recognition of an Antigenic Peptide Derived from Tyrosinase-Related Protein-2 by CTL in the Context of HLA-A31 and -A33," <i>J. Immunol.</i> 160:890-897, The American Association of Immunologists (1998)	
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	NPL77	Wizel, B., et al., "Human Infection with <i>Trypanosoma cruzi</i> Induces Parasite Antigen-Specific Cytotoxic T Lymphocyte Responses," <i>J. Clin. Invest.</i> 102:1062-1071, The American Society for Clinical Investigation, Inc. (1998)	
	NPL78	Zarour, H.M., et al., "Melan-A/MART-1 <sub>1-17</sub> represents an immunogenic HLA-DR4-restricted epitope recognized by melanoma-reactive CD4 <sup>+</sup> T Cells," <i>Proc. Natl. Acad. Sci. USA</i> 97:400-405, The National Academy of Sciences (2000)	
	NPL79	Zarutskie, J.A., et al., "A Conformational Change in the Human Major Histocompatibility Complex Protein HLA-DR1 Induced by Peptide Binding," <i>Biochemistry</i> 38:5878-5887, American Chemical Society (1999)	
/M.D./	NPL80	Zhang, H.-f., et al., "Targeting of functional antibody-CD59 fusion proteins to a cell surface," <i>J. Clin. Invest.</i> 103:55-61, The American Society for Clinical Investigation (1999)	

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UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

ROBERT *et al.*

Appl. No.: 10/529,221 (*U.S. Nat'l Phase  
of PCT/US03/30238*)

I.A. Filed: September 26, 2003

For: **Targeted CD1d Molecules**

Confirmation No.: 2116

Art Unit: *To Be Assigned*

Examiner: *To Be Assigned*

Atty. Docket: 1843.0200001/EKS/FRC

**First Supplemental Information Disclosure Statement  
Filing Under 37 C.F.R. § 1.97(b)**

*Mail Stop Amendment*

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Forms PTO/SB/08A and PTO/SB/08B are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. Copies of documents **FP12-FP15** and **NPL82-NPL91** are submitted. However, in accordance with 37 C.F.R. § 1.98(a)(2), copies of U.S. patents and U.S. patent application publications, documents **US4-US13**, cited on the attached Form PTO/SB/08A are not submitted.

The Examiner's attention is directed to the following co-pending U.S. Patent Applications, which are directed to related technical subject matter:

Application No. 10/809,790, inventors Zauderer, M., *et al.*, filed March 26, 2004, now published as 2004/0210037 A1, cited herein as document **US12**; and

Application No. 10/887,230, inventor Zauderer, M., filed July 9, 2004, now published as 2005/0042218 A1, cited herein as document **US13**.

The identification of these U.S. Patent Applications is not to be construed as a waiver of secrecy as to those applications now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited applications and the art cited therein during examination.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached IDS Forms based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

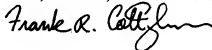
This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No statement or fee is required.

It is respectfully requested that the Examiner initial and return copies of the enclosed IDS Forms, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Frank R. Cottingham  
Attorney for Applicants  
Registration No. 50,437

Date: AUG. 15, 2006

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Substitute for form 1449/PTO

**FIRST SUPPLEMENTAL  
INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/529,221 ( <i>U.S. Nat'l Phase of PCT/US03/30238</i> )
I.A. Filing Date	September 26, 2003
First Named Inventor	Bruno Robert
Art Unit	<i>To Be Assigned</i>
Examiner Name	<i>To Be Assigned</i>
Attorney Docket Number	1843.0200001/EKS/FRC

[illegible]

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>2</sup> Number <sup>3</sup> Kind Code <sup>4</sup> (if known)				
/M.D./	FP12	WO 94/25610 A1	11/10/1994	Tykocinski		
/M.D./	FP13	WO 99/64597 A1	12/16/1999	The Government of the United States of America represented by The Secretary, Department of Health and Human Services		
/M.D./	FP14	GB 2 339 782 A	02/09/2000	Savage		
/M.D./	FP15	WO 04/029206 A2	04/08/2004	Vaccinex, Inc. and Robert <i>et al.</i>		

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Examiner Signature	/Marianne DiBrino/	Date Considered	08/17/2009
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \*Applicant's unique citation, designation number (optional). \*See Kinda Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. \*Enter Office that issued the document, by the WIPO Standard ST.3.1. For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \*Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. \*Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and pay the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.1. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time is only charged against the user for the actual completion of the form. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/08B (07-05)

Approved for use through 07/31/2006. OMB 0851-0031  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE  
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# **FIRST SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

## **Complete if Known**

Application Number	10/529,221 (U.S. Nat'l Phase of PCT/US03/30238)
I.A. Filing Date	September 26, 2003
First Named Inventor	Bruno Robert
Art Unit	To Be Assigned
Examiner Name	To Be Assigned
Attorney Docket Number	1843.0200001/EKS/FRC

Sheet 1 of 1

## **NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published	T <sup>2</sup>
/M.D./	NPL82	Fayen, J., et al., "Class I MHC Alpha 3 Domain Can Function as an Independent Structural Unit to Bind CD8a," <i>Mol. Immunol.</i> 32:267-275, Elsevier Science Ltd. (1995)	
	NPL83	Glick, M., et al., "Novel CD8 <sup>+</sup> T Cell Antagonists Based on $\beta_2$ -Microglobulin," <i>J. Biol. Chem.</i> 277:20840-20846, The American Society for Biochemistry and Molecular Biology, Inc. (June 2002)	
	NPL84	Hebert, A.M., et al., "Kinetics and Thermodynamics of $\beta_2$ -Microglobulin Binding to the $\alpha_3$ Domain of Major Histocompatibility Complex Class I Heavy Chain," <i>Biochem.</i> 40:5233-5242, American Chemical Society (published online March 2001)	
	NPL85	Hochman, J.H., et al., "Specific Associations of Fluorescent $\beta_2$ -Microglobulin with Cell Surfaces. The Affinity of Different H-2 and HLA Antigens for $\beta_2$ -Microglobulin," <i>J. Immunol.</i> 140:2322-2329, The American Association of Immunologists (1988)	
	NPL86	Mortez, E., et al., "Cells Expressing a Major Histocompatibility Complex Class I Molecule with a Single Covalently Bound Peptide Are Highly Immunogenic," <i>J. Exp. Med.</i> 181:493-502, Rockefeller University Press (1995)	
	NPL87	Parker, K.C., and Strominger, J.L., "Subunit Interactions of Class I Histocompatibility Antigens," <i>Biochem.</i> 24:5543-5550, American Chemical Society (1985)	
	NPL88	Salter, R.D., et al., "A binding site for the T-cell co-receptor CD8 on the $\alpha_3$ domain of HLA-A2," <i>Nature</i> 345:41-46, Nature Publishing Group (1990)	
	NPL89	Sidney, J., et al., "Practical, biochemical and evolutionary implications of the discovery of HLA class I supermotifs," <i>Immunol. Today</i> 17:261-266, Elsevier Science Ltd. (1996)	
	NPL90	Sidney, J., et al., "Majority of Peptides Binding HLA-A*0201 With High Affinity Crossreact With Other A2-Supertypes Molecules," <i>Hum. Immunol.</i> 62:1200-1216, Elsevier Science Inc. (November 2001)	
/M.D./	NPL91	Whitman, M.C., et al., "The isolated major histocompatibility complex class I $\alpha_3$ domain binds $\beta_2m$ and CD8a dimers," <i>Mol. Immunol.</i> 37:141-149, Elsevier Science Ltd. (2000)	

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Examiner Signature	/Marianne DiBrino/	Date Considered	08/17/2009
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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